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Deposited on: 08/08/2003

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GROUP 1703Approved for use through 10/31/2002 PTO/SB/21 (08-00)
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE OMB 0851-0031**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/996,142
Filing Date	11/28/2001
First Named Inventor	Daniel E. Resasco et al.
Group Art Unit	1754 (Conf. No. 3756)
Examiner Name	Unknown
Attorney Docket Number	5820.613

Total Number of Pages in This Submission

ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
☐ Fee Attached
☐ Amendment / Reply
☐ After Final
☐ Affidavits/declaration(s)
☐ Extension of Time Request
☐ Express Abandonment Request
☒ Information Disclosure Statement
☐ Certified Copy of Priority Document(s)
☐ Response to Missing Parts/
Incomplete Application
☐ Response to Missing Parts
under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers
(for an Application)
☐ Drawing(s)
☐ Licensing-related Papers
☐ Petition
☐ Petition to Convert to a
Provisional Application
☐ Power of Attorney, Revocation
Change of Correspondence
Address
☐ Terminal Disclaimer
☐ Request for Refund
☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication
to Group
☐ Appeal Communication to Board
of Appeals and Interferences
☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)
☐ Proprietary Information
☐ Status Letter
☒ Other Enclosure(s) (please
identify below):

See remarks below:

Remarks

1. Transmittal (1 page);
2. Fee Transmittal (1 page) authorizing withdrawal from Deposit Account should any fees be required;
3. Supplemental Information Disclosure Statement (3 pages);
4. Supplemental Form PTO-1449 (2 pages);
5. Copies of cited material; and
6. Return Receipt Postcard.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	DUNLAP, CODDING & ROGERS, P.C., Customer Number 30589 P. O. Box 16370, Oklahoma City, Oklahoma 73113; Christopher W. Corbett
Signature	
Date	8/8/03

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail or U.S. Express
mail no. EV336512512US in an envelope addressed to the address below on this date: 08/08/2003

Typed or printed name Christopher W. Corbett, Reg. No. 36,109

Signature

Date

8/8/03

Commissioner for Patents
SEND TO: P.O. Box 1450
Alexandria, VA 22313-1450

Mail No.: EV336512 US
Deposited: 08/08/2003

PTO/SB/17 (10-02)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2003

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0

Complete if Known

Application Number 09/996.142
Filing Date 11/28/2001
First Named Inventor Daniel E. Resasco et al
Examiner Name Unknown
Art Unit 1754
Attorney Docket No. 5820.613

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ None

☒ Deposit Account:

Deposit Account Number 04-1700
Deposit Account Name Dunlap, Coddling & Rogers, P.C.
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$) 0

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims Extra Claims Fee from below Fee Paid
Independent Claims ** = X = \$0
Multiple Dependent ** = X = \$0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type) Christopher W. Corbett Registration No. 36,109 Telephone (405) 607-8600
Signature [Signature] (Attorney/Agent) Date 08/08/2003

SEND TO:

Commissioner for Patents
PO Box 1450, Alexandria, VA 22313-1450

3
PATENT

EXPRESS MAIL NO.: EV336512512US
DEPOSITED ON: August 8, 2003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Daniel E. Resasco, Boonyarach Kitiyanan,
Walter E. Alvarez, and Leandro Balzano

Serial No.: 09/996,142

Atty. Dkt. No.: 5820.613

Filed: 11/28/2001

Art Unit: 1754

For: PROCESS AND APPARATUS FOR
PRODUCING SINGLE-WALLED
CARBON NANOTUBES

Examiner: Unknown

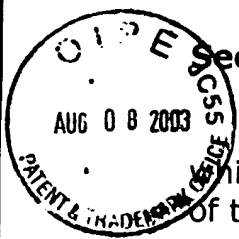
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this Information Disclosure Statement:

1. [X] Preliminary Statements
2. [X] Form PTO-1449(Modified)
3. [X] Copies of Listed Information Items Accompanying this Statement
4. [X] Identification of Person(s) Making this Information Disclosure Statement



Section 1. Preliminary Statements

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 C.F.R. § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

Section 2. Form PTO-1449 (Modified)

☒ A completed Form 1449 (Modified) is attached hereto.

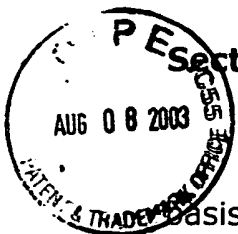
☐ No Form 1449 (Modified) is attached.

Section 3. Copies of Listed Information Items Accompanying this Statement

☒ Legible copies of all items listed in Form PTO-1449 (Modified) accompany this information disclosure statement.

☐ Exception(s) to above:

☐ Items in prior application from which an earlier filing date is claimed for this application, as identified in Section 4. Only copies of the following patents are enclosed:



Section 4. Identification of Person(s) Making this INFORMATION DISCLOSURE STATEMENT

The person making this statement is the attorney who signs below on the basis of the information:

- ☐ supplied by the inventor(s)
- ☐ supplied by an individual associated with the filing and prosecution of this application (37 C.F.R. § 1.56(c)).
- ☒ in the attorney's file

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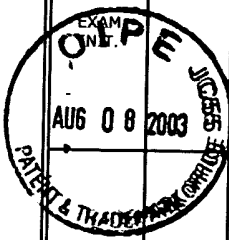
Respectfully submitted,

Christopher W. Corbett, Reg. No. 36,109
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Attorney/Agent for Applicants

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Page 2 of 2



NON PATENT DOCUMENTS

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

ALVAREZ, ET AL., "Synergism of Co and Mo in the catalytic production of single-wall carbon nanotubes by decomposition of CO", *Elsevier Science Ltd.*, Carbon 39 (2001), pp. 547-558.

BANDOW ET AL., "Effect of the Growth Temperature on the Diameter Distribution and Chirality of Single-Wall Carbon Nanotubes", *The American Physical Society*, Physical Review Letters, Vol. 80, No. 17, (1998), pp. 3779-3782

CHATURVEDI ET AL., "Properties of pure and sulfided NiMoO₄ and CoMoO₄ catalysts: TPR, XANES and time-resolved XRD studies", Database Accession No. EIX99044490981 XP002246342, Proceedings of the 1997 Mrs Fall Symposium, Boston, MA, USA, December 2-4, 1997; Mater Res Soc Symp Proc, Materials Research Society Symposium-Proceedings, Recent Advances in Catalytic Materials, 1998, Mrs. Warrendale, PA, USA.

DE BOER ET AL., "The cobalt-molybdenum interaction in CoMo/SiO₂ catalysts: A CO-oxidation study", *Elsevier Science Ltd.*, Solid State Ionics 63-65 (1993), pp. 736-742.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance and not considered. Include copy of this form with next communication to applicant. **Place of Publication refers to name of publication in which the information was published.